State of Washington
Department of Corrections

Human Resource Management Report

Plan & Align Workforce

Hire Workforce

Deploy Workforce

Reinforce Performance

Develop Workforce

October 2009

Managers' Logic Model for Workforce Management

	Outputs	Initial Outcomes	Intermediate Outcomes	
Plan & Align Workforce	Articulation of managers HRM accountabilities. HR policies. Workforce planning. Job classes & salaries assigned.	Managers understand HRM accountabilities. Jobs, staffing levels, & competencies aligned with agency priorities.	Foundation is in place to build and sustain a productive, high performing workforce.	
Hire Workforce	Qualified candidate pools, interviews & reference checks. Job offers. Appts & per-formance monitoring.	Best candidate hired & reviewed during appointment period. Successful performers retained.	The right people are in the right job at the right time.	**Ultimate Outcomes**
Deploy Workforce	Work assignments & requirements defined. Positive workplace environment created. Coaching, feedback, corrections.	Workplace is safe, gives capacity to perform, & fosters productive relations. Staff know job rqmts, how they're doing, & are supported.	Time & talent is used effectively. Employees are motivated & productive.	**Employees are committed to the work they do & the goals of the organization** **Productive, successful employees are retained** **State has workforce depth & breadth needed for present and future success**
Develop Workforce	Individual development plans. Time/ resources for training. Continuous learning environment created.	Learning environment created. Employees are engaged in develop-ment opportunities & seek to learn.	Employees have competencies for present job & career advancement	**Agencies are better enabled to successfully carry out their mission. The citizens receive efficient government services.**
Reinforce Performance	Clear performance expectations linked to orgn'al goals & measures. Regular performance appraisals. Recognition. Discipline.	Employees know how performance contributes to success of orgn. Strong performance rewarded; poor performance eliminated	Successful perf is differentiated & strengthened. Employees are held accountable.	

Executive Summary

Performance Measure	Status	Action Priority [e]	Comments
PLAN & ALIGN WORKFORCE			
Management profile [a]	5.8% = "Managers"; 5.4% = WMS only	Low	WMS control point = 5.6%
% employees with current position/competency descriptions [b]	95.5%	Low	
HIRE WORKFORCE			
Average Time to Hire Funded Vacancies [c]	61 avg days to hire (of 301 vacancies filled)	Medium	
Candidate quality ratings [c]	66% cand. interviewed had competencies needed 100% mgrs said they were able to hire best candidate	Low	
Hiring balance (% types of appointments) [c]	26% promo; 26% new hires; 41% transfers; 3% exempts;	Low	
Number of separations during post-hire review period [c]	145	Low	
DEPLOY WORKFORCE			
Percent employees with current performance expectations [b]	77%	Medium	
Overtime usage: (monthly average) [c]	4.93 hours (per capita); 29.5% of EEs receiving OT	Medium	
Sick leave usage: (monthly average) [c]	6.2 hours (per capita)	Low	
# of non-disciplinary grievances [c]	103 grievances	Low	
# of non-disciplinary appeals & Dir's Reviews filed [c]	2 appeals, 29 Director's Reviews	Low	
DEVELOP WORKFORCE			
Percent employees with current individual training plans [b]	77%	Medium	
REINFORCE PERFORMANCE			
Percent employees with current performance evaluations [b]	77%	High	
Number of formal disciplinary actions taken [c]	72	Low	
Number of disciplinary grievances and appeals filed [c]	43 grievances; 6 appeals	Low	
ULTIMATE OUTCOMES			
Turnover percentages (leaving state service) [c]	6.3%	Medium	
Diversity Profile [a]	36% female; 17% people of color; 67% 40+; 3% with disabilities	Low	
Employee survey overall average rating [d]	3.36; 3,355 survey responses	High	

a) Data as of 6/30/09

b) Data as of 6/30/09 **or** agency may use more current date (if so, please note in the "Comments" section)

c) Data from 7/1/08 through 6/30/09

d) Data as of November 2007 State Employee Survey

e) Action Priority: H=High, M=Medium, L=Low   For those measures that have Action Steps

Plan & Align Workforce

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/ competency descriptions

Management Profile

Agency Priority: Low

WMS Employees Headcount = 477.0

Percent of agency workforce that is WMS = 5.4%

All Managers* Headcount = 518

Percent of agency workforce that is Managers* = 5.8%

* In positions coded as "Manager" (includes EMS, WMS, and GS)

Washington Management Service Headcount Trend
Data Time Period: July 08 through June 09

Y-axis: # WMS Employees (Headcount)

Month	Headcount
Jul-08	476
Aug-08	476
Sep-08	473
Oct-08	473
Nov-08	468
Dec-08	473
Jan-09	472
Feb-09	472
Mar-09	472
Apr-09	474
May-09	480
Jun-09	477
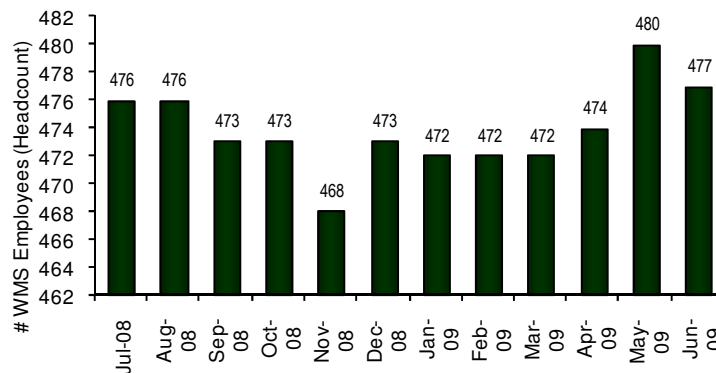
WMS Management Type

Management	426
Consultant	20
Policy	22
Not Assigned	9

Management 89%
Policy 5%
Not assigned 2%
Consultant 4%

Analysis:

- **WMS Control Point: 5.6%.** At 5.4%, DOC is slightly under the 5.6% threshold expectation.

- Future cuts may impact position to staff ratio.

- The percentage of the Departments' workforce that are WMS is 1.8 percentage points lower compared to the statewide percentage of 7.2%.

- The percentage of the Department's workforce that are Managers is 1.9 percentage points lower compared to the statewide percentage of 8.7%.

- WMS Position review process updated. No longer reviewed by a peer committee. Human Resources has begun to review WMS position allocation centrally to ensure consistency and provides much quicker turnaround.

- 46% of the Department's WMS staff are directly responsible for the custody and security of offenders and are critical to the agency. They include Correctional Lieutenants (88), Correctional Unit Supervisors (64), Correctional Housing Unit Managers (15), and Community Corrections Supervisors (91).

Action Steps: (What, by whom, by when)

- Continue to monitor to ensure the Department does not exceed the 5.6% threshold.

Data as of 06/2009
Source: DOP Business Intelligence

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Plan & Align Workforce

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/ competency descriptions

Current Position/Competency Descriptions

Agency Priority: Low

> **Percent employees with current position/competency descriptions = 95.5%***

*Based on 8459 of 8858 reported employee count
Applies to employees in permanent positions, both WMS & GS

Analysis:

- Percentage increased by 5.5 percentage points from last reporting period.

Action Steps: (What, by whom, by when)

- Implement a training program for effective position description writing, which should assist in reaching and sustaining the goal completion rate.

- Continue current efforts to meet the 100% goal.

- Keep Appointing Authorities informed by identifying which positions do not have current/updated position descriptions.

- HR will continue to provide necessary assistance to supervisors and employees on completing position descriptions.

Data as of 10/2009
Source: Agency Tracked Data

Hire Workforce

Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

Performance Measures

Time-to-hire vacancies

Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

Time-to-Hire / Candidate Quality

Agency Priority: Medium

Time-to-Hire Funded Vacancies

Average number of days to hire*: **61**

Number of vacancies filled: **301**

*Equals # of days from the date the hiring supervisor informs the agency HR Office to start the process to fill the position, to the date the job offer is accepted.

Agency Priority: Low

Candidate Quality

Of the candidates interviewed for vacancies, how many had the competencies (knowledge, skills & abilities) needed to perform the job?

Number = 208   Percentage = 66%

Of the candidates interviewed, were hiring managers able to hire the best candidate for the job?

Hiring managers indicating "yes":

Number = 30   Percentage = 100%

Hiring managers indicating "no":

Number = 0   Percentage = 0%

Analysis:

- Out of the 301 vacancies filled through E-Recruiting, it took an average of 61.5 days to fill a position, a reduction of 19.5 days from the last reporting period and a reduction of 30.4 days from two years ago.

- Not all positions are filled through E-Recruiting. Due to the nature of the system, the Department has had to run "shadow" systems to ensure positions are filled timely. Therefore, this data does not represent the total picture of hiring activity.

- Volume recruiting activity has been tracked and monitored on a monthly basis. The bulk of the activity shifted mid year from filling custody vacancies, due to declining vacancies, to a focus on Health Services to address the critical staffing levels in that division.

- Recruitment team members were hired and trained to support the fast paced and shifting needs of the Department; however, some position were eliminated due to budget reductions.

- The recruitment project "Hire 20 Nurses in 90 Days" was conducted, successfully ending in the placement of 20 new nurses to fill longstanding vacancies at MCC. Retention continues to be a problem.

- Statewide "Always Open" requisitions are being closed and replaced with position specific announcements designed to attract candidates that are currently available with the knowledge, skills and abilities for the position.

- DOC continues to refine recruiting processes to ensure that the right people are in the right jobs at the right time. The volume recruiting events have become more streamlined but due to the intensive screening process involved in the selection of CO's, accurate time to fill data remains difficult to gather.

- The recruitment efforts over the past couple of years has had a profound impact on the reduction of custody overtime. Efforts in this area directly tie in with the agency's strategic plan goal: Focus on the Workforce.

- There are still some inconsistencies in the use of the Candidate Quality tool.

Action Steps: (What, by whom, by when)

- Focus on Health Services long standing vacancies, such as Nurses and professional level positions such as Doctors and Dentists.

- Improving recruitment is a major focus this year. Three teams: improve interviewing, centralized recruitment, and streamline application process are working hard on consistent and effective processes.

- Examine CO probationary separations, to mitigate potential candidate quality issues.

- Continue to work with DOP and the idiosyncrasies of E-Recruiting. Involved in DOP's hosted provider solution to E-Recruiting.

- Continue to work with HR staff to ensure supervisors are sent the Quality Candidate survey through E-Recruit.

Data Time Period: 07/2008 through 06/2009
Source: E-Recruit System

Hire Workforce

Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.
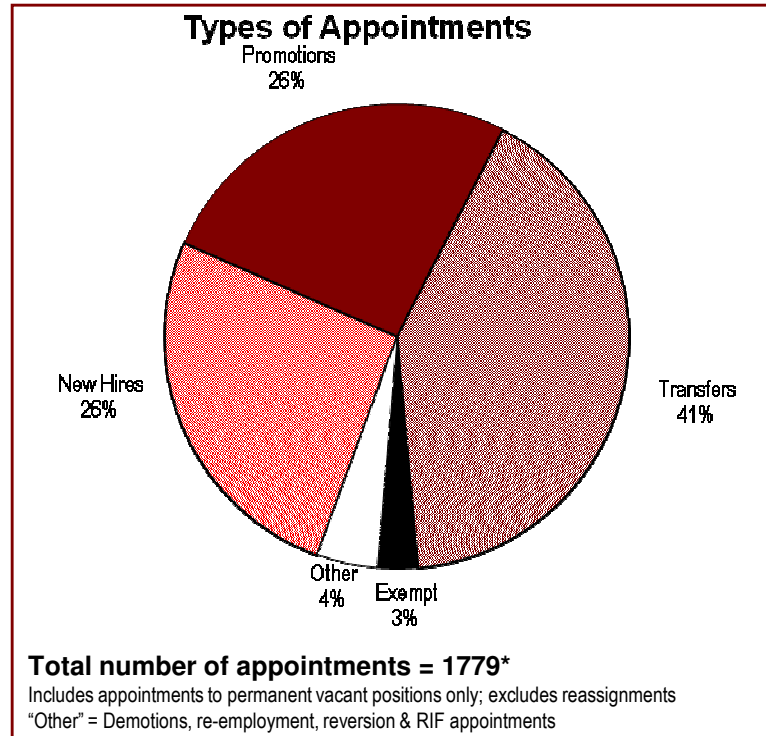
Performance Measures

Time-to-hire vacancies

Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

Hiring Balance / Separations During Review Period

Agency Priority: Low

Types of Appointments

- Promotions 26%
- Transfers 41%
- Exempt 3%
- Other 4%
- New Hires 26%

Total number of appointments = 1779*

Includes appointments to permanent vacant positions only; excludes reassignments
"Other" = Demotions, re-employment, reversion & RIF appointments

Agency Priority: Low

Separation During Review Period

Probationary separations - Voluntary	73
Probationary separations - Involuntary	40
Total Probationary Separations	*113*
Trial Service separations - Voluntary	20
Trial Service separations - Involuntary	12
Total Trial Service Separations	*32*
Total Separations During Review Period	**145**

Data Time Period: 07/2008 through 06/2009
Source: DOP Business Intelligence

Analysis:

- Overall appointments decreased from 1906 to 1779 between reporting periods (127 overall). Decrease is likely attributed to budget reductions and hiring freezes.

- 361 positions eliminated since December 2008, mostly in Prisons Division. Reduction numbers will increase during FY10 with the implementation of 5288.

- Probationary/Trial Service separations decreased from 125 for FY08 to 113 for FY09. Probationary voluntary separations decreased from 79 for FY08 to 73 for FY09. Trial Service involuntary separations increased from 3 for FY08 to 12 for FY09.

- Transfers up 29 percentage points from FY08.

- New Hires are down 24 percentage points from FY08.

- The Department will continue to reduce the use of contract staff over the next biennium. The Department has significantly reduced the use of contract staff over the last fiscal year.

  o Contract Nursing Expenditures FY08 $10.4M down to FY09 $5.5M

  o Contract primary medical care onsite (mostly MDs and CHCS2s) FY08 $7.6M down to FY09 $3M

The Department 's decision to assign dedicated recruitment resources to health services is helping fill long standing vacancies, which has helped facilitate significant savings. This is especially true in nursing and medical primary care providers. There has been clear value having professional targeted recruitment resources to assist in finding candidates for these difficult to fill professional positions.

Action Steps: (What, by whom, by when)

- Continue to review a drill-down of appointments and separations by job class and geographic location.

- Examine whether or not our involuntary separations are due to candidate viability/quality, which is directly linked the Strategic Plan goal: Focus on the Workforce

- Continue to identify the voluntary separations by class and research the reasons why they left to see if candidate viability is an issue.

- Improve interviewing may identify areas needing work; Correctional Officer process relies heavily on the psychological assessment, which is not a 100% prediction of success.

- Fully centralize Correctional Officers, Community Corrections Officers, Nurse recruitments.

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Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.
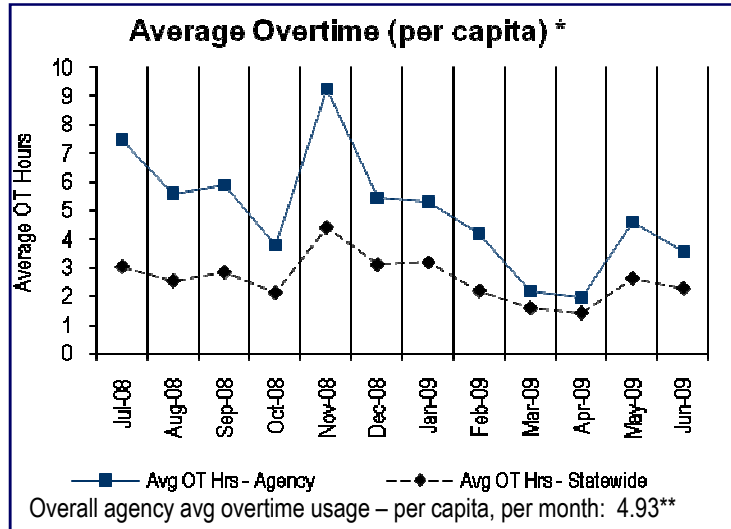
Performance Measures

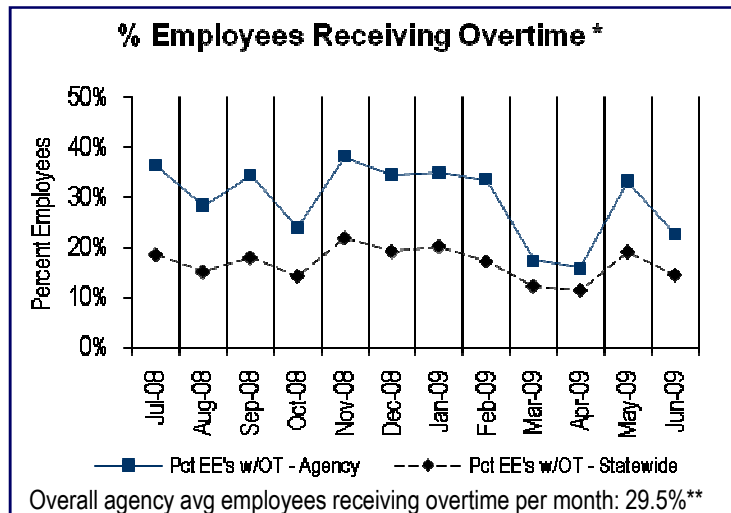**Percent employees with current performance expectations**

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Current Performance Expectations

Agency Priority: Medium

> **Percent employees with current performance expectations = 77%***

*Based on 5494 of 7150 reported employee count
Applies to employees in permanent positions, both WMS & GS

Analysis:

- Overall PDP completion rate increased 6 percentage points from last fiscal year.

- DOC Human Resources (HR) will continue to provide training to all managers/supervisors so they are prepared to initiate the new PDP process.

- Field and Institution evaluations have improved significantly compared to last fiscal year.

- A number of Prisons Division facilities reported significant improvement in their completion rates. One Prison facility improved their PDP completion from 32% to 95%.

Action Steps: (What, by whom, by when)

- Training plan for all supervisors in place. So far 25 training sessions completed (293 staff), which began in September 2008 and to continue until all supervisors are trained.

- Continue to make this a high priority to include steps to increase the percentage completed at HQ.

Data as of 07/2009
Source: Agency Tracked Data

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Overtime Usage

Agency Priority: Medium

Average Overtime (per capita) *

Legend: Avg OT Hrs - Agency — Avg OT Hrs - Statewide

Overall agency avg overtime usage – per capita, per month: 4.93**

**Overall agency avg overtime usage – per capita, per month = sum of monthly OT averages / # months

% Employees Receiving Overtime *

Legend: Pct EE's w/OT - Agency — Pct EE's w/OT - Statewide

Overall agency avg employees receiving overtime per month: 29.5%**

**Overall agency avg employees receiving overtime per month = sum of monthly OT percentages / # months

*Statewide overtime values do not include DNR

Data Time Period: 07/2008 through 06/2009
Source: DOP Business Intelligence

Overtime Cost - Agency

Month	Cost
Jun-09	1,111,011
May-09	1,395,553
Apr-09	632,776
Mar-09	692,408
Feb-09	1,439,576
Jan-09	1,614,087
Dec-08	1,628,819
Nov-08	2,928,196
Oct-08	1,155,683
Sep-08	1,846,707
Aug-08	1,717,258
Jul-08	2,221,592
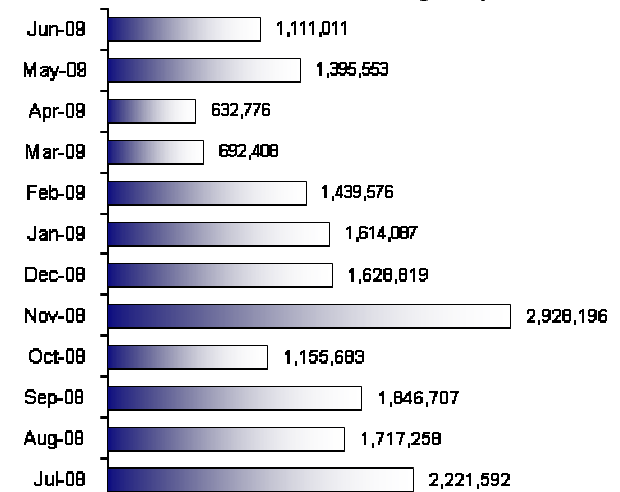
Analysis:

- Over the past year, overtime costs have been reduced significantly compared to last year. For FY08, the Department spent $26.5 Million in overtime. For FY09, the Department spent $18.4 Million, a $8.1 Million (30.5%) reduction from the previous fiscal year.

- Overall agency average overtime usage per capita, per month, continues to fall from 11.2 in FY07, to 7.8 in FY08, to 4.9 in FY 09. A significant improvement from two years ago. The number of employees receiving overtime was reduced by 4.9 percentage points compared to last fiscal year.

Action Steps: (What, by whom, by when)

- Appointing Authorities are working to ensure they recruit based on projected vacancies, determined by historical activity and expansion requirements, rather than waiting for the vacancy to occur to recruit.

- Occupational Nurse Consultants have developed plans specific to each institution to address relief requirements created by employees on LNI, which can also have a significant impact on overtime.

- DOC has conducted several GMAP's on overtime and continues to be challenged in reducing overtime; however, the agency monitors overtime on a monthly basis, as referenced in the following slide.

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Overtime Usage

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.
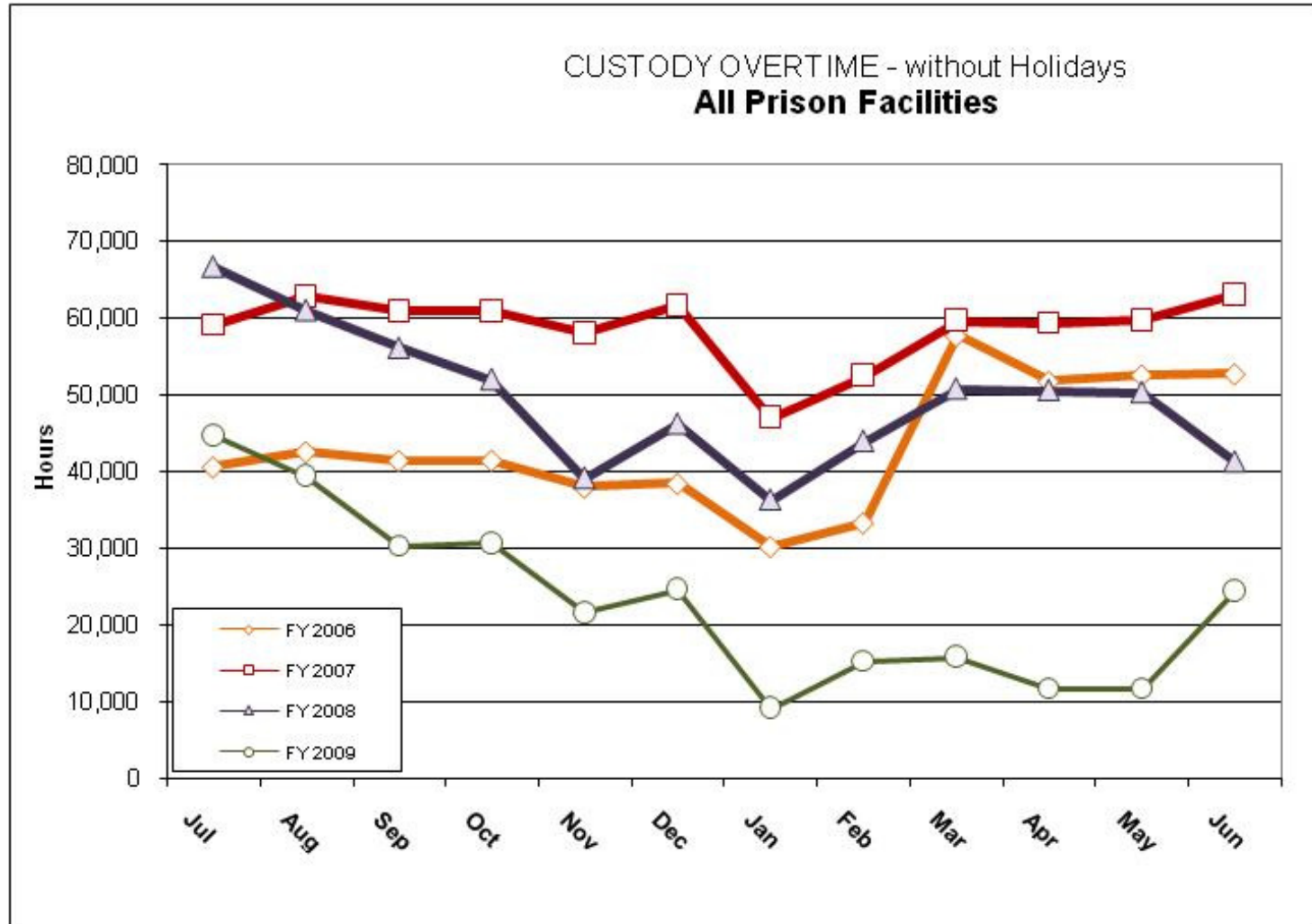
Performance Measures

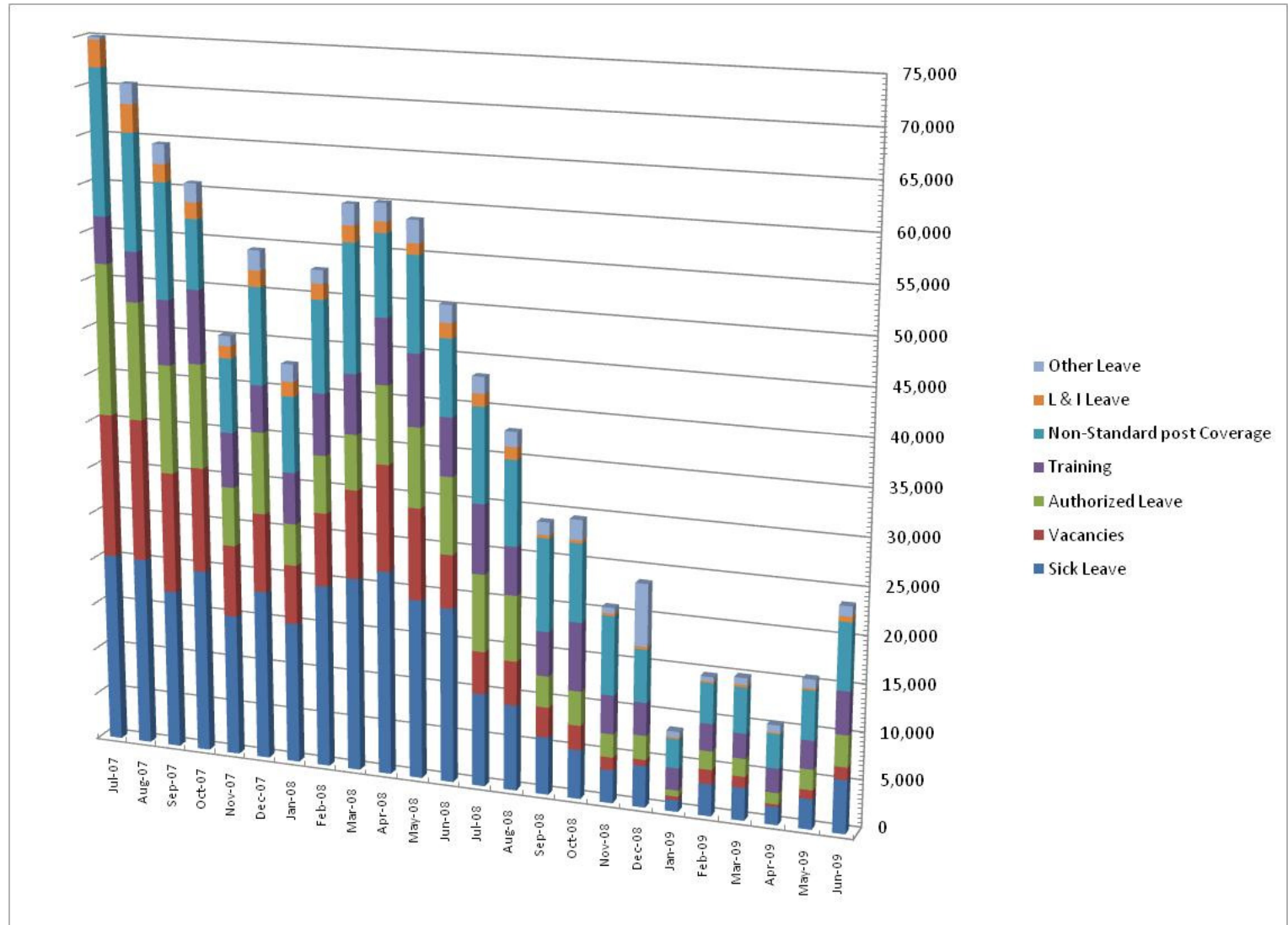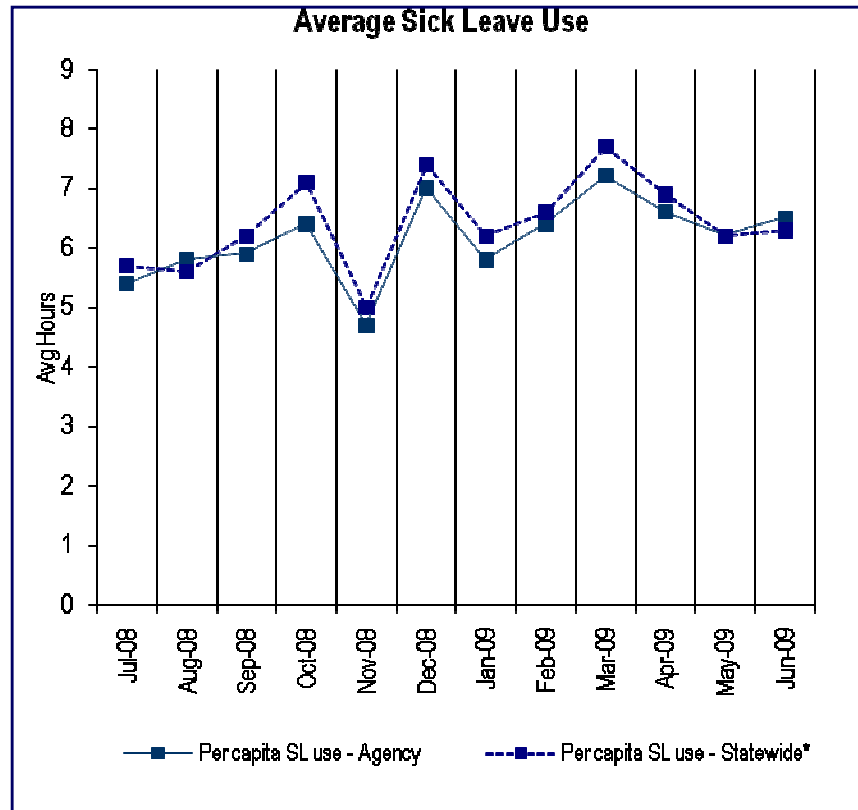Percent employees with current performance expectations

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Overtime vastly improved largely due to a decrease in vacancy rates and extensive recruitment efforts by the Department's recruitment team in place for the lastly year. The time a position is vacant has continues to decrease contributing to overtime reductions.

CUSTODY OVERTIME - without Holidays
All Prison Facilities

Overtime Usage

Deploy Workforce

This slide illustrates the number of overtime hours used per month and the reason for the overtime work. It dramatically shows a significant reduction in overtime since July 2007.

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Legend:
- Other Leave
- L & I Leave
- Non-Standard post Coverage
- Training
- Authorized Leave
- Vacancies
- Sick Leave

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Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Sick Leave Usage

Agency Priority: Low

Average Sick Leave Use

Sick Leave Hrs Used / Sick Leave Balance (per capita)

Avg Hrs SL Used (per capita) - Agency	Avg SL Balance (per capita) - Agency	Avg Hrs SL Used (per capita) – Statewide*	Avg SL Balance (per capita) – Statewide*
6.2 Hrs	200.6 Hrs	6.4 Hrs	240.2 Hrs

* Statewide data does not include DOL, DOR, L&I, and LCB

Data Time Period: 07/2008 through 06/2009
Source: DOP/HR Metrics & Accountability office

Analysis:

- Per capita use of sick leave is slightly under the state average and continues to decrease compared to the last two fiscal years.

- Continued emphasis on recruitment to fill prison vacancies "on time" throughout FY09 has contributed to the decrease in overtime.

Action Steps: (What, by whom, by when)

- The Department continues its recruitment efforts in Prisons as appropriate. Focus is on Health Services.

- The Department will continue to focus on recruiting to build diverse pools of qualified applicants.

- During 2009 a committee was formed to address the HR strategic plan to "Promote Workplace Wellness Leadership". This has provided a much more organized, systematic approach. A mission statement has been developed which is: to create a culture of wellness which instills employees with a desire to participate in their own health and well being. Wellness coordinators at every institution and section act as conduits for messages to staff. Headquarters has resurrected its wellness committee and a quarterly wellness newsletter was developed and released in October. At the end of August, the staff HRA completion rate was 10.7 % which has already exceeded the 2008 completion rate of 9.6%. In addition, over 70% of institutions have wellness committees identified.

- In 2009, DOC offered seasonal flu shots at all institutions, CJCs, HQ and CI. This was a collaborative effort between the Occupational Nurses, Health Services and GetaFluShot.com. Shots were covered for staff and dependents by Aetna, UMP and Group Health.

- As of October 1, approximately 1000 DOC employees received their flu shot at work. 13 more shot clinics will be completed by October 26.

Non-Disciplinary Grievances (represented employees)

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

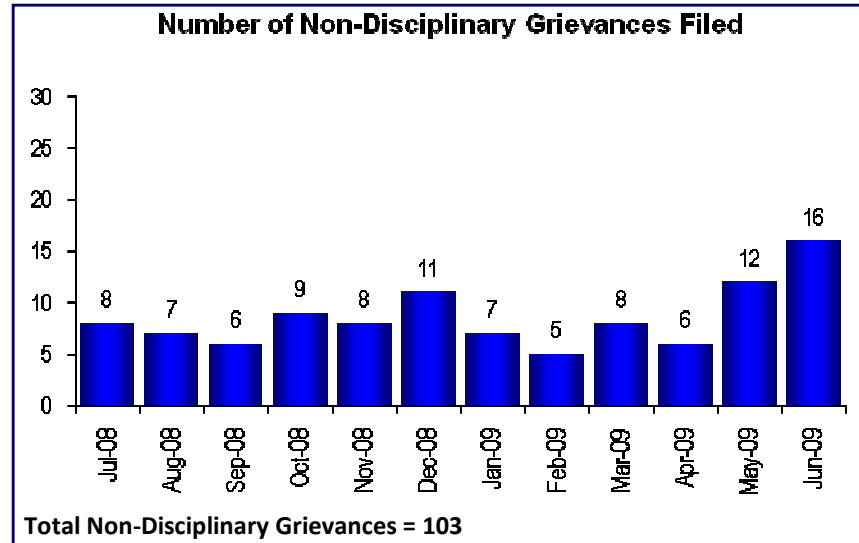Percent employees with current performance expectations

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Agency Priority: Medium

Number of Non-Disciplinary Grievances Filed

Month	Count
Jul-08	8
Aug-08	7
Sep-08	6
Oct-08	9
Nov-08	8
Dec-08	11
Jan-09	7
Feb-09	5
Mar-09	8
Apr-09	6
May-09	12
Jun-09	16

Total Non-Disciplinary Grievances = 103

* There may not be a one-to-one correlation between the number of grievances filed (shown top of page) and the outcomes determined during this time period. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

Non-Disciplinary Grievance Disposition*
(Outcomes determined during time period listed below)

- 73 Open/Pending Resolution
- 29 Settled
- 11 Withdrawn
- 1 Arbitration

Data Time Period: 07/2008 through 06/2009
Source: Agency Tracked Data

Top 5 Non-Disciplinary Grievance Types (i.e., Compensation, Overtime, Leave, etc)

Grievance Type	# Grievances
1. Bid System	16
2. Overtime	12
3. Compensation	9
4. Safety	9

Analysis:

- Compared to FY 2009, overtime grievances have dropped 64%. This is due to two reasons:
  - A decrease in the amount of work assignments that are covered through overtime; and
  - Changes that were made in the 2007-2009 contract with the Teamsters that clarifies how to properly assign overtime.

- All of the bid system grievances have been filed by the Teamsters and all have been resolved at or below the mediation step of the grievance process.

Action Steps: (What, by whom, by when)

- Review the language in the Bid Article to see if we can clarify areas of misunderstanding in the Teamsters 2011-2013 collective bargaining agreement.

- Continue dialog with the union early and often.

Non-Disciplinary Appeals (mostly non-represented employees)

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Agency Priority: Low

Filings for DOP Director's Review

29 Job classification

0 Rule violation

0 Name removal from Layoff List

0 Exam results or name removal from applicant/candidate pool, *if DOP did assessment*

0 Remedial action

29 Total filings

> 19 of 29 filings were filed by four (4) unit groups consisting of Fiscal Techs (4), Electronic Techs (6), Administrative Assistants (4) and Correctional Records Techs (5).

Filings with Personnel Resources Board

1 Job classification

0 Other exceptions to Director Review

0 Layoff

1 Disability separation

0 Non-disciplinary separation

2 Total filings

Non-Disciplinary appeals only are shown above.

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.
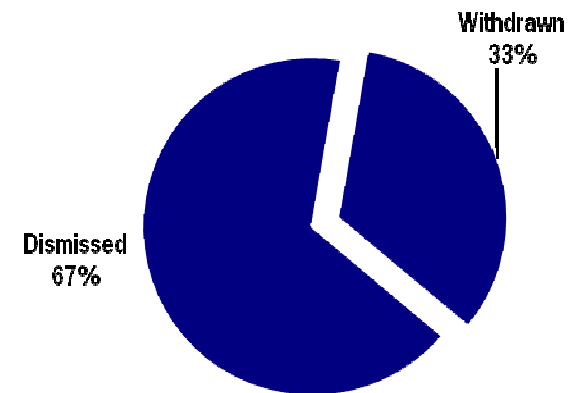
Director's Review Outcomes
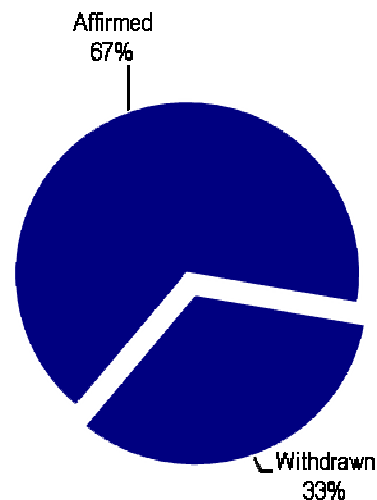
Affirmed 67%

Withdrawn 33%

Total outcomes = 6

Personnel Resources Board Outcomes

Withdrawn 33%

Dismissed 67%

Total outcomes = 3

Data Time Period: 07/2008 through 06/2009
Source: Performance & Accountability

Develop Workforce

Outcomes:

A learning environment is created. Employees are engaged in professional development and seek to learn. Employees have competencies needed for present job and future advancement.

Performance Measures

Percent employees with current individual development plans

Competency gap analysis (TBD)

Individual Development Plans

Agency Priority: Medium

> **Percent employees with current individual development plans = 77%***

*Based on 5,494 of 7,150 reported employee count
Applies to employees in permanent positions, both WMS & GS

Analysis:

- Completion Rate of annual performance evaluations has increased compared to last fiscal year.

- DOC is committed to offering staff access to training internal and external to the agency. Since October 2008, DOC HR staff has trained approximately 1,100 DOC staff on the PDP process.

- DOC regularly encourages staff to attend professional conferences and training for growth and development.

- DOC recently eliminated its tuition reimbursement program due to budget cuts, disappointing many staff.

Action Steps: (What, by whom, by when)

- Continue to reinforce the expectation that all staff receive timely and meaningful performance evaluations.

- Continue to update agency training programs.

- Continue to partner with higher education institutions to enhance staff training and increase educational opportunities.

Data as of 07/2009
Source: Agency Tracked Data

Reinforce Performance

Current Performance Evaluations

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Agency Priority: High

Percent employees with current performance evaluations = 77%*

*Based on 5,494 of 7,150 reported employee count. Applies to employees in permanent positions, both WMS & GS

Analysis:

• The percentage reported this year is an improvement from the last reported period by 6 percentage points.

• Keeping up with evaluations continues to be a challenge.

Action Steps: (What, by whom, by when)

▪ Continue efforts to meet 100% of evaluations due for the next reporting period.

▪ Training sessions are being provided and thus far over 115 sessions have been conducted for approximately 1,100 supervisors. Training will continue to be offered on a regular basis.

▪ Updating the policy and dividing Parts 1-3 and 4-5, has made it easier to track when expectations were provided and when evaluations were completed. This also mitigated substantial confusion over the use of one form for what amounted to separate processes.

▪ Continue to work with HR staff to ensure reports are accurate, and data entry is being completed when evaluations are submitted for inclusion in the personnel file.

▪ HR staff will begin to send out automated reminder notices to supervisors on upcoming and overdue performance evaluations.

Data as of 07/2009
Source: Agency Tracked Data

Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Formal Disciplinary Actions

Agency Priority: Low

Disciplinary Action Taken

Action Type	# of Actions
Dismissals	21
Demotions	8
Suspensions	31
Reduction in Pay*	12
Total Disciplinary Actions*	**72**

* Reduction in Pay is not currently available as an action in HRMS/BI.

Issues Leading to Disciplinary Action

- Failure to follow security procedures
- Information Technology
- Inappropriate comments or behavior
- Attendance
- Driver's License/DUI
- Inappropriate Offender Contact
- Hostile work environment
- Misuse of state resources
- Off duty conduct

Analysis:

- Compared to FY2008, the Department has taken over twice as many disciplinary actions in FY2009. However, the number of actions is consistent with prior reporting years. For example, In FY 2007 there were 23 terminations, 7 in FY 2008, and 21 in FY2009.

- Failure to follow security procedures, inappropriate comments or behavior, and misuse of information technology accounted for nearly half of the behaviors that was cause of discipline. These behaviors were addressed primarily with suspensions.

- In this reporting period there were four disciplinary actions related to Driver's License/DUI conduct. It is likely this misconduct may have occurred more frequently, but was addressed with lower levels of disciplinary action.

Action Steps: (What, by whom, by when)

- Human Resources will continue to track issues that are cause for disciplinary sanctions and provide data to agency leaders semi-annually.

- On September 14, 2009, Secretary Vail communicated to all staff his expectations regarding illegally driving under the influence of an intoxicating substance. If this behavior occurs, DOC will now address it with disciplinary action. The Department will monitor these disciplinary actions to ensure consistency.

- Continue to track issues that are cause for disciplinary sanctions and provide data to the Department's leaders.

Data Time Period: 07/2008 through 06/2009
Source: Business Intelligence & DOC Labor Relations Office

Reinforce Performance

Disciplinary Grievances and Appeals

Agency Priority: Low

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Disciplinary Grievances (Represented Employees)

Jul-08: 7
Aug-08: 2
Sep-08: 5
Oct-08:
Nov-08: 4
Dec-08: 6
Jan-09: 2
Feb-09: 2
Mar-09: 3
Apr-09: 5
May-09: 3
Jun-09: 4

Total # Disciplinary Grievances Filed: 43

Disciplinary Appeals (Non-Represented Employees filed with Personnel Resources Board)

3 Dismissal

2 Demotion

1 Suspension

0 Reduction in salary

6 Total Disciplinary Appeals Filed with PRB

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

Disposition (Outcomes) of Disciplinary Grievances

- 26 Open
- 10 Settled
- 6 Withdrawn
- 1 Arbitration

Disposition (Outcomes) of Disciplinary Appeals*

Withdrawn 50%
Affirmed 25%
Reversed 25%
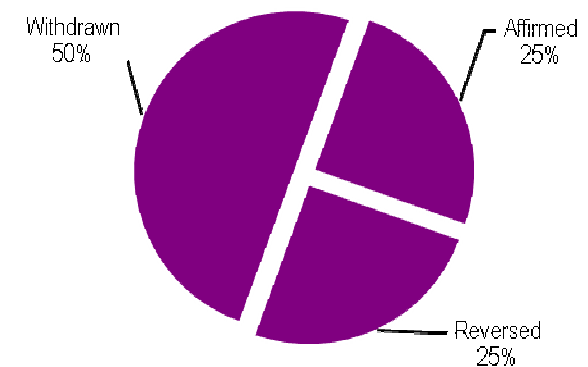
*Outcomes issued by Personnel Resources Board

Data Time Period: 07/2008 through 06/2009
Source: Performance & Accountability & Agency Tracked Data

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures
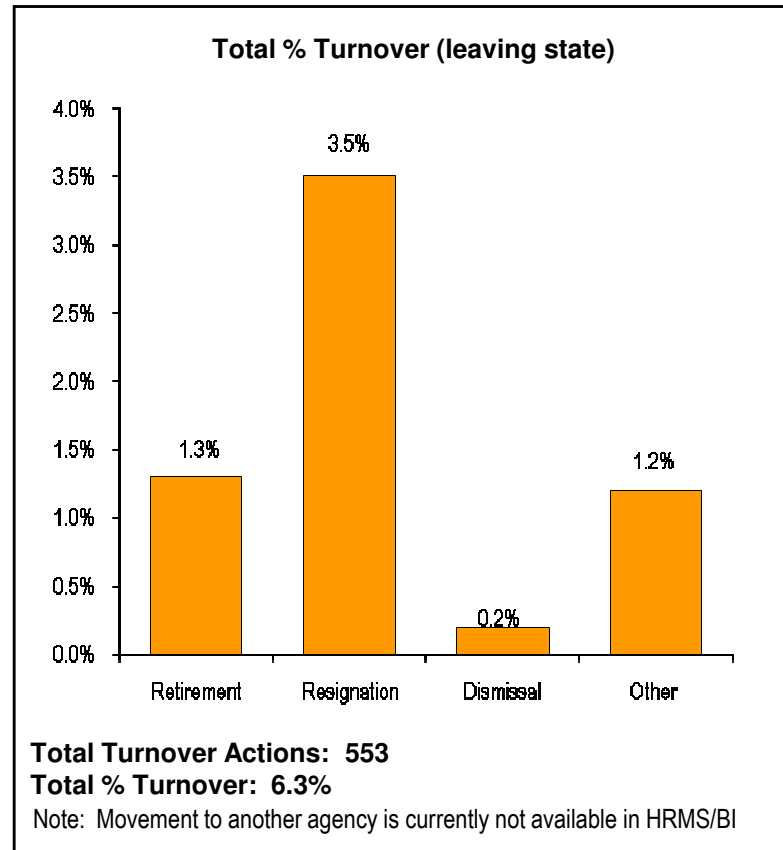
Turnover rate: key occupational categories

Workforce Diversity Profile

Employee Survey Information

Retention measure (TBD)

Turnover Rates

Agency Priority: Medium

Total % Turnover (leaving state)

Category	%
Retirement	1.3%
Resignation	3.5%
Dismissal	0.2%
Other	1.2%

Total Turnover Actions: 553
Total % Turnover: 6.3%
Note: Movement to another agency is currently not available in HRMS/BI

Analysis:

- Turnover decreased overall by 1.2 percentage points, when compared to last fiscal year.

- Correctional Officers continue to represent the most critical turnover out of all DOC classes.

- Retirement and Resignation has decreased slightly compared to last fiscal year.

- The development of the retention plan has been deferred. While a pilot program has been developed , due to layoff activity and the climate in the agency, it was decided to defer the plan to a later date.

- Health Services still experiencing turnover .

- The majority of the staff leaving state service for other reasons are mainly Non-Permanent /On-Call staff (185 out of 309 total; 74 were probationary separations related to budget reductions, and 17 were due to layoff).

Action Steps: (What, by whom, by when)

- Enhanced recruitment activities should continue to produce an improvement in vacancy rates and overall turnover.

- DOC will continue to dedicate statewide recruitment team resources to recruiting candidates for the critical volume classes including Correctional Officers, Community Corrections Officers, and Nurses to ensure that adequate staffing levels are maintained.

- Continue to monitor and devise creative recruitment and retention strategies, DOC also continues to monitor essential and hard-to-fill positions.

Data Time Period: 07/2008 through 06/2009
Source: DOP Business Intelligence

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Turnover rates and types

Turnover rate: key occupational categories

Workforce Diversity Profile

Employee Survey Information

Retention measure (TBD)

Workforce Diversity Profile

Agency Priority: Low

	Agency	State
Female	36%	53%
Persons w/Disabilities	3%	4%
Vietnam Era Veterans	8%	6%
Veterans w/Disabilities	5%	2%
People of color	17%	18%
Persons over 40	67%	74%

Diversity Profile by Ethnicity

Percent Age Distribution
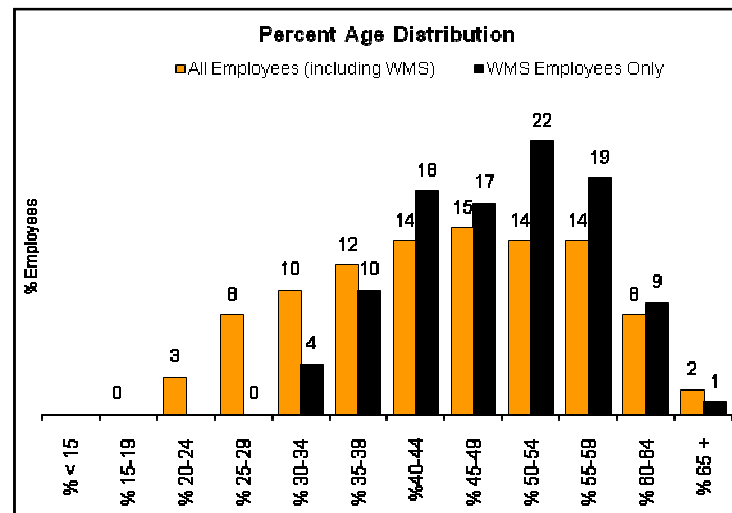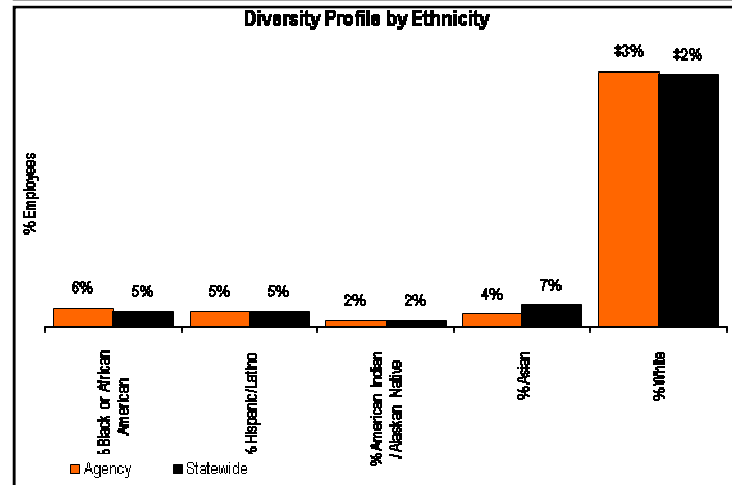
Analysis:

- There has been only slight changes to the demographics since 2008; they include a one percent drop for Females and Veterans w/Disabilities. There has been a two percent drop for Persons over 40.

- DOC is still significantly below the statewide profile for women (36% v. 53%) and slightly below for People of Color 17% v. 18%.

- DOC is one percentage below the statewide profile for Persons with Disabilities but continues to employ a greater number of Vietnam Era Veterans and Veterans with disabilities than the rest of the state.

- From 2008-2009 a total of 12 Respectful Workplace training sessions have been completed involving a total of 259 staff.

Action Steps: (What, by whom, by when)

- As part of the HR Business plan the Workplace Diversity program is taking the lead on developing a 'DOC' specific Respectful Workplace Education that will take the place of the old program that has been discontinued (end of vendor agreement).

- Recruitment teams will work with Appointing Authorities to improve the diversity of their workforce.

- Workplace Diversity Consultants will be deployed statewide to meet with Appointing Authorities as needed to improve the diversity of their workforce.

Data as of 07/2009
Source: DOP Business Intelligence

Employee Survey Ratings

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Turnover rates and types

Turnover rate: key occupational categories

Workforce Diversity Profile

Employee Survey Information

Retention measure (TBD)

Agency Priority: High

Question	Avg April 2006	Avg Nov 2007
1) I have the opportunity to give input on decisions affecting my work.	3.00	**2.93**
2) I receive the information I need to do my job effectively.	3.48	**3.30**
3) I know how my work contributes to the goals of my agency.	3.72	**3.61**
4) I know what is expected of me at work.	4.09	**3.95**
5) I have opportunities at work to learn and grow.	3.15	**3.13**
6) I have the tools and resources I need to do my job effectively.	3.45	**3.24**
7) My supervisor treats me with dignity and respect.	4.18	**4.08**
8) My supervisor gives me ongoing feedback that helps me improve my performance.	3.50	**3.46**
9) I receive recognition for a job well done.	2.92	**2.91**
10) My performance evaluation provides me with meaningful information about my performance.	3.10	**3.05**
11) My supervisor holds me and my co-workers accountable for performance.	4.07	**3.92**
12) I know how my agency measures its success.	2.51	**2.61**
13) My agency consistently demonstrates support for a diverse workforce.	n/a	**3.50**

Overall average:	3.43	3.36
Number of survey responses:	2299	3355

Data as of 11/2007
Source: Statewide Employee Survey

Analysis:

- Reported back on discussions about Employee Satisfaction Survey with local staff.
- Established a schedule to post agency level performance measure reports on Inside DOC.
- Developed Communications Strategy for DOC Strategic Plan.
- Established individual performance agreements linked to the Agency Strategic Plan between each Assistant Secretary and the Deputy with the Secretary.
- Sponsoring the annual Agency Awards and local awards events.
- Increased marketing of the Productivity Board program.
- Met with Teamsters Shop Stewards for discussion regarding the employee survey results.

Action Steps: (What, by whom, by when)

- Each member of the Executive Staff will establish performance expectations linked to the Agency Strategic Plan with their direct reports.
- Provide training to increase completion rate and quality of employee performance evaluations.
- Improve the evaluation process for supervisors by creating opportunities for staff to provide input into their supervisor's evaluation.
- Continue with the "Get out of Olympia" and "Get out of your Office" initiative for the entire Extended Leadership Team.
- Increase delivery of Supervision & Leadership training to agency supervisors and managers.
- Continue to post and/or contribute stories about staff/ program real world agency work on InsideDOC, in local agency newsletters, and with local media.
- Continue local Union/ Management communication meetings.
- Continue talking with the unions early and often.
- Continue the cost-saving suggestion program.